



RECORDS RETENTION SCHEDULE

REGISTRY OF ELECTION FINANCE

Schedule Date: September 1988

Change Date: September 8, 2005

Prepared by
STATE RECORDS BRANCH
Public Records Division

Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

Registry of Election Finance
Agency

Unit


September 8, 1988
Schedule Date

September 8, 2005
Change Date

September 8, 2005
Date Approved by Commission

APPROVALS

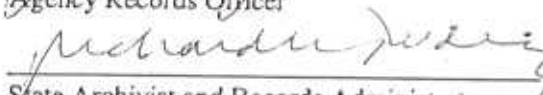
The undersigned approve of the following Records Retention Schedule or Change:


Agency Head

9-08-05
Date of Approval


Agency Records Officer

9-08-05
Date of Approval


State Archivist and Records Administrator
Director, Public Records Division

9-8-05
Date of Approval



Chairman, State Archives and Records Commission

9/08/05
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:


Records Analyst/Regional Administrator

9/8/05
Date of Approval



Appraisal Archivist

9/8/05
Date of Approval


State/Local Records Branch Manager

9/8/05
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

9/8/05
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: September 08, 1988

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Secretary of State
Registry of Election Finance

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
00918	Manual of Instruction for Candidates/Committees	This series documents an instruction booklet which is written for candidates, campaign committees, permanent committees, executive committees, and political issues committees. It explains reporting requirements of KRS Chapter 121 date(s) reports are due, contribution and receipt schedules, expenditure schedules, fund raising events, debts and obligation schedules, and reconciliation of activities of the candidate or committee. The instruction booklet is sent to candidates and committees, with reporting, forms before candidates'/committees' first reporting period. A form sample is included in the manual with instructions for its completion. The manual is revised when new provisions of the KRS Chapter 121 are enacted into law.	Series contains: Form samples to be completed by candidates/committees for contributions and receipts; due dates; fund raising schedules; debts and obligation schedules; reconciliation dates; and instructions for completing any necessary documents	Agency: P	Records Center:	Archives Center:
				Retain one copy of each revision in agency		
00919	Complaints and Investigations File - (Documents complaints of alleged violations of campaign finance law) (C) KRS 61.878 (1)(h)(i) Change Date: 12/10/1992 (V)	This series documents complaints of alleged violations of campaign finance law filed by individuals or by the Registry on its own motion. KRS 121.140 provides upon the sworn complaint of any person, or on its own initiative, that the Registry shall investigate alleged violations of this law. It provides a record of the investigative process, the hearings when applicable, finding of fact and conclusion of law, and the disposition of each complaint or investigation. Each complaint stands on its own merit. It will reflect violations that occurred or probable cause to believe a violation may have occurred. Upon conclusion of each hearing an order is issued announcing the findings, assessing a penalty(s), if appropriate, or referral to the Attorney General for prosecution, where warranted. The Kentucky Board of Election Finance hears complaints each quarter at its regular meetings, and at that time determines if a complaint is indeed a violation and, if so, begins its investigative process. A report of a violation(s) must be submitted within four years from the date of the violation(s). In the event the violator is an officeholder, the complaint must be submitted within one year following the expiration of his current term of office.	Series contains: formal complaint; notice to person(s) complained against; response from person(s) complained against; notice of intent to investigate to complainant and person(s) complained against; results of investigation to complainant and person(s) complained against; notice of dismissal or notice of hearing (as appropriate); results of hearing; testimony of witnesses; order in which findings are issued; transcript of hearing	Agency: I	Records Center: 10	Archives Center:
				Transfer to the State Records Center two years after closure of case		

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Secretary of State
Registry of Election Finance

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00920	Candidate/Committee File - State Offices - (Documents that candidates and committees have filed reports of campaign receipts and expenditures) Change Date: 12/10/1992 (V)	This series documents that candidates and their committees have filed reports of campaign receipts and expenditures. It provides for full public disclosure as to the source and disposition of campaign funds. It identifies use and activity of these records, including making them available for public inspection and copying upon receipt of the report. KRS 121 prescribes that the Registry maintain a filing and coding system for all candidates running for public offices within the Commonwealth. The agency reconciles by means of desk reviews and field audits the financial data reported by statewide candidates and their campaign committees. (Committees for Candidates Folders (00921), was combined with this record.) It is important to note that the Annual Report (M0008) identifies the candidate or committee and all contributors to a campaign, but does not identify expenditures.	Series contains: appointment of campaign treasurer; statement of intent to receive \$3000 or less; correspondence; audit; report of receipts and expenditures; noncompliance actions; assessment and disposition of civil penalties where applicable	Agency: 1	Records Center: 10	Archives Center:
				Transfer to the State Records Center two years after account is terminated. Destroy after audit		
00922	Political Party Executive Committee File (N) Change Date: 12/10/1992	This series documents the committees that have filed reports of receipts and expenditures semi-annually (post-primary and post-general elections). It provides for full public disclosure as to the source and disposition of committee funds. KRS 121 prescribes that the Registry maintain a filing for all party executive committees, for state and county elections. The use and activity of this file includes having the information available for public inspection and copying upon receipt of report. The agency reconciles the financial data reported by executive committees by means of desk reviews and field audits. It includes funds received from income tax check-off and disposition of those funds. Reports (ITC) are filed after each general election.	Executive Committees' reports of receipts and expenditures; correspondence; field audits or desk reviews. Noncompliance actions-assessments and disposition of civil penalties where applicable.	Agency: 1	Records Center: 4	Archives Center:
				Transfer to State Records Center two years after file is complete. Destroy after audit.		
00923	Permanent Action Committee (PAC) Folder Change Date: 12/10/1992	This series documents the filed reports of receipts and expenditures of Permanent Action Committees (PAC), and provides for full public disclosure as to the source and disposition of committee funds. A Permanent Action Committee is a permanent group or organization which is established as, or intended to have as a primary purpose, political activity which may include support of or opposition to selected candidates, slates of candidates, political parties, or issues of public importance, and which functions on a regular basis throughout the year. KRS 121 prescribes that the Registry maintain a filing system for all Permanent Action Committees registered within the Commonwealth. This information is to be made available for public inspection and copying upon receipt of the report. The financial data reported by the committees are reconciled by means of desk reviews and field audits. Note: A list of committee members is not maintained in the contents of the file, only the chairman, treasurer and custodian.	Series contains: registration of committee; report of receipts and expenditures; correspondence; desk review; noncompliance actions-assessments; and disposition of civil penalties where applicable	Agency: 2 years	Records Center: 10	Archives Center:
				Retain in Agency for two (2) years following date of election to which data refers; transfer to State Records Center after two (2) years.		

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Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00925	Financial Disclosure Report File Change Date: 12/10/1992	This series documents the financial disclosure reports filed by candidates, as required in KRS 61.710-750. The primary role of the Registry is to assure the citizens of Kentucky of the integrity of the electoral process by making certain there is full public access to campaign financial data and financial disclosure reports. The report includes a description of financial interests of \$1,000 or greater value held by the candidate, his/her spouse and dependents; a list of every office, directorship, or employment held by the candidate, spouse, dependents and his/her principal employer in any entity; and a list of all entities to whom the candidate and principal employer furnished compensated services valued at more than \$1,000 during the period covered by the report. Each person subject to the financial disclosure requirements while holding office or employment must file the report by March 15 of each year, for incumbents, and within ten days after the filing deadline for candidates for specified offices. Under the terms of KRS 61.750, reports are made available for public inspection upon receipt. In thirty days after reports are due, the Registry is to publish a list of those persons who filed them.	Series contains: individual filing report with descriptions of financial interests of \$1000 or more, including spouse, dependents, principal employer; candidate's list of every office, directorship or employment, also that of spouse, dependents; list of entities to whom the subject individual and principal employer furnished compensated services of more than \$1000 during the period covered by the report	Agency: 2	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
03284	Field Audits of Campaign Funds, Permanent Action Committees, Party Executive Committees, Political Issues Committees Change Date: 3/9/1989	This series documents the required audit of accounts of all statewide candidates, as well as random audits of candidates running for other offices, as provided for in KRS 121.120 (3)(k)(l). The auditors verify the accuracy of the reports and that the candidates have complied with campaign finance regulations as required in KRS Chapter 121 (also includes receipts and disbursements of campaign funds, permanent committees, political issues committees). This is the audit of the receipts and expenditures in the records of candidates and committees. The reports must match those filed by the candidate and/or committee. Each donation that is received, where it comes from, and the limits of each donation are checked to make sure they are within the legal guidelines set by law. (Donations of \$300 or more are required to be identified by donor. \$3,000 is the limit of any contribution by a single individual.) This is the only source that provides information of the financial activities of candidates and committees.	Series contains: financial statements of contributions and receipts; schedule of activities; expenditure forms; fund raising contributions; debts and obligations; reconciliation activities; correspondence; general comments	Agency: 2	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
03285	Federal Committee File	This series documents that committees registered with the Federal Election Commission (FEC) have made contributions on behalf of Kentucky candidates. It provides for full public disclosure as to the source and disposition of the funds. By Executive Order issued in 1980, the Registry was given responsibility for FEC activities, to receive and maintain information on a candidate or committee that is active in the state of Kentucky. The use and activity of this series includes making it available after 48 hours of receipt, and making copies of information upon request for any individual. Under the terms of 11 CFR Chapter. 108.6 (b), the Registry is to preserve such reports and statements (either in original form or in facsimile copy by microfilm or otherwise) filed under the Act for a period of two years from the date of receipt.	Series contains: receipts; expenditures; correspondence	Agency: 1	Records Center: 1	Archives Center:
				Transfer to the State Records Center		

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Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03286	Federal Candidate File	This series documents that an individual has formally filed and registered to become a candidate for a federal office. It provides for full public disclosure as to the source and disposition of campaign funds. The use and activity of this series includes making it available after 48 hours of receipt, and making copies of information upon request. By Executive Order issued in 1980, the Registry was given responsibility for Federal Election Commission activities to receive and maintain information on a candidate or committee that is active in Kentucky. Under the terms of 11 CFR Chapter 108.6 (b) the Registry is to preserve such reports and statements (either in original form or in facsimile copy by microfilm or otherwise) filed under the Act for a period of two years from the date of receipt.	Series contains: correspondence; audit; report of receipts and disbursements; personal financial statements; financial disclosure reports	Agency: 1	Records Center: 1	Archives Center:
				Transfer to the State Records Center		
03388	Audit Workpapers (C) KRS 61.878 (1)(a)(h) Change Date: 12/10/1992 (V)	This series documents supporting information for the completion of audits of the financial activity of the candidates or committees representing a candidate or political issue. The series is confidential due to the personal nature of the information collected that is not required to be reported under KRS Chapter 121. (Contributor's that have made donations of less than \$300 are not made public in the final audit report.)	Series contains: analysis of bank transactions; cash receipts; cash disbursements; contributions; expenditures	Agency: 1	Records Center: 4	Archives Center:
				Transfer to the State Records Center two years after completion of field audits (03284) of campaign funds, permanent action committees, party executive committees, political issues committees		
03616	Political Issues Committee File Change Date: 12/10/1992 (V)	This series documents the financial receipts and expenditures of a political issues committee, much the same as a candidate committee file documents the financial activities of the candidate it supports. A political issues committee is comprised of three or more people joined together to advocate or oppose a constitutional amendment or public question, such as the lottery, the sale of alcohol in a county, or a tax or bond issue. It is created once the committee has received or expended more than \$1,000. The Registry provides for full public disclosure as to the source and disposition of campaign issue funds (Annual Report (M0022), and determines whether the required reports have been filed and, if so, whether they conform with the requirements of the statutes. It is the responsibility of each committee to complete and file the proper reports in a timely manner. The Registry has civil action powers for those who fail to comply with the regulations.	Series contains: campaign finance statements; correspondence; desk audit sheets; committee registration form; appointment of campaign treasurer; noncompliance actions	Agency: 1	Records Center: 10	Archives Center:
				Transfer to the State Records Center two years after dissolution of committee and termination of account. Destroy after audit		

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04849	Gubernatorial Slate Media Record File Change Date: 3/11/1999	This series documents the purchase of advertising services or materials to support or oppose a slate of candidates for election to the offices of Governor and Lieutenant Governor. As required in KRS 121.180 (11), any publisher of newspapers or magazines, owners or lessors of billboards, a radio or television station or network, or any other person, company, corporation, or business organization offering its communications or advertising services for hire to the public, that receives funds for the purchase of advertising services or material, must file pertinent information with the Registry. All information is due to the Registry by the thirtieth day following the primary and regular elections, subsequent to the date that the broadcasting or printing of the advertisement occurs. The reporting requirement was enacted by the General Assembly in 1994. Information from the series is not available in the Registry's annual report.	Series contains: a copy of the material or communication purchased; a copy of the receipt for funds paid; the name and address of each purchaser; source of funds, if different than the purchaser; correspondence; non-compliance action assessment; and disposition of civil penalties, if applicable	Agency: 2	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
05440	Caucus Campaign Committee File Change Date: 9/8/2005	In its 2005 session, the General Assembly passed Senate Bill 112, which eliminated tax-payer funded gubernatorial campaigns and authorized creation of Caucus Campaign Committees (CCC). The CCCs facilitate private financial contributions and campaign expenses. This series documents the Caucus Campaign Committees that have filed reports of receipts and expenditures semi-annually (post-primary and post-general elections). It provides for full public disclosure as to the source and disposition of committee funds. KRS Chapter 121 prescribes that the Registry maintains a filing for all Caucus Campaign Committees for state and county elections. The use and activity of this file includes having the information available for public inspection and copying upon receipt of report. The Agency reconciles the financial data reported by Caucus Campaign Committees by means of desk reviews and field audits. The Registry of Election Finance will conduct audits to check full disclosure on committee funds.	Caucus Campaign Committees' reports of receipts and expenditures, correspondence, field audit or desk review. Noncompliance actions-assessments and disposition of civil penalties where applicable.	Agency: 2 years	Records Center: 4	Archives Center:
				Retain in Agency for two (2) years following date of election to which data refers; transfer to State Records Center. Destroy after audit.		